

**DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**

**COMMAND AUDIT OF THE  
OFFICE OF THE ACADEMY**



**FINAL REPORT**

**OCTOBER 27, 2009**

**M e m o r a n d u m**

Date: October 27, 2009

To: Office of the Commissioner  
Attention: Commissioner J. A. Farrow

From: **DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**  
Office of the Assistant Commissioner, Inspector General

File No.: 005.9968.A13471.010

Subject: FINAL 2008 COMMAND AUDIT REPORT OF OFFICE OF THE ACADEMY

In accordance with the Institute of Internal Auditors, *International Standards for the Professional Practice of Internal Auditing* §2440, issued by the Institute of Internal Auditors, Government Code §13887 (a)(2), and the California Highway Patrol (CHP) Audit Charter, I am issuing the 2008 Command Audit Report of the Office of the Academy. The audit focused on the command's cash receipts, contracts, evidence, purchasing, reimbursable services contracts, advanced payments for predetermined services, and personnel records.

The audit revealed the command has adequate operations. However, some issues were observed. This report presents suggestions for management to improve on some of its operations. In doing so, operations would be strengthened and the command would ensure it is operating in compliance with policies and procedures. We have included our specific findings, recommendations, and other pertinent information in the report. The Office of the Academy agreed with most of the findings and plans to take corrective action to improve its operations. However, the command only partially agreed with one of the findings, but has taken corrective action to ensure any future misunderstandings will not occur. The command will be required to provide quarterly updates to the Office of Inspections on the progress of their corrective action plan implementation until the command has resolved all deficiencies. Additionally, the Office of Inspections plans on conducting a follow-up review within one year from the date of the final report.

Additionally, in accordance with the *International Standards for the Professional Practice of Internal Auditing* and Government Code §13887 (a)(2), this report, the response, and any follow-up documentation is intended for the Office of the Commissioner; Office of the Assistant Commissioner, Leadership Development and Communications; Office of the Assistant Commissioner, Inspector General; Office of Legal Affairs; Office of Inspections; and the Office of the Academy. Please note this report restriction is not meant to limit distribution of the report, which is a matter of public record pursuant to Government Code §6250 et seq. Furthermore, in accordance with the Governor's Executive Order S-20-09 to increase government transparency, the final audit report, including the response to the draft audit report, will be posted on the CHP's

***Safety, Service, and Security***

Office of the Commissioner  
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internet website, and on the Office of the Governor's webpage, located on the State's Government website.

The Office of Inspections would like to thank the Office of the Academy's management and staff for their cooperation during the audit. If you need further information, please contact Assistant Chief Ken Hill at (916) 843-3005.



M. C. A. SANTIAGO  
Assistant Commissioner

cc: Office of the Assistant Commissioner, Leadership Development and Communications  
Office of Legal Affairs  
Office of Inspections  
Office of the Academy

*BUSINESS, TRANSPORTATION AND HOUSING AGENCY*

*DEPARTMENT OF CALIFORNIA HIGHWAY PATROL*

*COMMAND AUDIT OF THE  
OFFICE OF THE ACADEMY*

*OFFICE OF INSPECTIONS, AUDITS UNIT*

*OCTOBER 27, 2009*

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# EXECUTIVE SUMMARY

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The Commissioner has the responsibility, by statute, to enforce laws regulating the operation of vehicles and use of highways in the State of California and to provide the highest level of safety, service, and security to the people of California. Consistent with the California Highway Patrol's (CHP) 2008 Audit Plan, the Office of the Commissioner directed the Office of Inspections, Audits Unit, to perform an audit of the Office of the Academy.

The CHP's 2008-2009 Strategic Plan highlights the mission statement which includes five broad strategic goals designed to guide the CHP's direction. One strategic goal is to continuously look for ways to increase the efficiency and/or effectiveness of departmental operations.

The audit scope period covered the twelve months prior to the start of the audit field work. However, to provide a current evaluation of the command, primary testing was performed of business conducted during the period of January 1, 2008, through June 30, 2008.

Based on the review of the Office of the Academy's operations, this audit revealed it has complied with most operational policies. However, some weaknesses were observed. The following is a summary of the identified weaknesses:

## **Contracts**

- The command did not maintain its contract files.

## **X-Number Contracts**

- The command did not always maintain complete documentation of its X-number contract files.
- The command did not always complete the X-number contracts properly.

## **Purchasing**

- The command did not maintain an employee authorization list to approve purchases.
- The command did not always maintain its purchasing files.

## **Personnel Records**

- The command did not always ensure their employees reviewed their field service record annually.

Please refer to the Findings and Recommendations section for detailed information.

# AUDIT REPORT

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## **INTRODUCTION**

To ensure the California Highway Patrol's (CHP) operation is efficient and/or effective and internal controls are in place and operational, the Office of the Commissioner directed the Office of Inspections, Audits Unit, to perform an audit of the Office of the Academy.

The CHP's 2008-2009 Strategic Plan highlights the mission statement which includes five broad strategic goals designed to guide the CHP's direction. One strategic goal is to continuously look for ways to increase the efficiency and/or effectiveness of departmental operations. This audit will assist the CHP in meeting its goal.

## **OBJECTIVE AND SCOPE**

The objective of the evaluation is to determine if the command has complied with operational policies and procedures that provide managers with reasonable, but not absolute, assurance departmental operations are being properly executed. The audit period was twelve months prior to the start of the audit field work. However, to provide a current evaluation of the command, primary testing was performed of business conducted during the period of January 1, 2008, through June 30, 2008. This audit included the review of existing policies and procedures, as well as, examining and testing recorded transactions in order to determine compliance with established policies, procedures, and good business practices. The audit field work was conducted from December 1 - 5, 2008.

## **METHODOLOGY**

Each commander was audited regarding their cash receipts, contracts, evidence, purchasing, reimbursable service contracts, and advanced payments for predetermined services. Additionally, the commander could select any of the following topics: asset forfeiture, fleet operations, personnel records, and strategic plan reporting. The Office of the Academy commander selected personnel records. When preparing for the audit, and due to limited auditing resources, reimbursable service contracts was reduced to an examination of the Driving Under the Influence (DUI) Cost Recovery Program and advanced payments for predetermined services was reduced to Wide Load Services. Also, the audit of evidence was limited to guns, drugs, and money. Sample selection of areas to be audited was primarily random or judgmental. Whenever possible, the use of risk assessment was used to select a sample containing the highest probability of risk to the command. Furthermore, the auditors reviewed prior audit reports and findings.

## **OVERVIEW**

**Cash Receipts:** The command appears to maintain adequate onsite facilities for safeguarding funds collected; converts cash to money order(s) timely; submits mandated weekly transmittal reports on a weekly basis to the Fiscal Management Section (FMS); and maintains separation of duties for internal controls over petty cash.

**Contracts:** Contracts appear to be processed according to departmental policy; however, the process could be improved. The command did not maintain its contract files.

**X-Number Contracts:** X-number contracts appear to be processed according to departmental policy; however, the process could be improved. The command did not always maintain complete documentation of its X-number contract files. Additionally, the command did not always complete the X-number contracts properly.

**Evidence:** The command does not maintain evidence.

**Purchasing:** Purchases appear to be processed according to departmental policy; however, the process could be improved. The command did not maintain an employee authorization list to approve purchases. Also, the command did not always maintain its purchasing files.

**Reimbursable Service Contracts:** The command does not maintain reimbursable service contracts.

**Advance Payments for Predetermine Services:** The command does not maintain advance payments for predetermined services.

**Personnel Records:** Personnel records appear to be processed according to departmental policy; however, the process could be improved. The command did not always ensure their employees reviewed their field service record annually.

This audit revealed the command has adequate operations; nevertheless, issues were discovered. These issues should be addressed by management to maintain the command's compliance with appropriate laws, regulations, policies, and procedures. The findings and appropriate recommendations are presented in this report.

As a result of changing conditions and the degree of compliance with policies and procedures, the efficiency and effectiveness of operations change over time. Specific limitations may hinder the efficiency and effectiveness of an otherwise adequate operation include, but are not limited to, resource constraints, faulty judgments, unintentional errors, circumvention by collusion, fraud, and management overrides. Establishing compliant and safe operations and sound internal controls would prevent or reduce these limitations; moreover, an audit may not always detect these limitations.



# FINDINGS AND RECOMMENDATIONS

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## CONTRACTS

**FINDING 1:**           **The command did not maintain its contract files.**

**Condition:**           Six of ten contract files selected for review were not available; all contract files were missing the Contract Request, CHP 78; and two contract files did not contain the Agreement Summary, STD 215.

The contract files in question are 6C091013-2 (file not available), 7C091036-0 (missing STD 215), 7C091042-0 (missing STD 215), 7C091048-0 (file not available), 7C091051-0 (file not available), 7C091053-0 (file not available), 7C091057-0 (file not available), and 7R091010-0 (file not available)

**Criteria:**           Government Code (GC) Section 13403(a)(6) says one of the elements of a satisfactory system of internal accounting and administrative control is an effective system of internal review.

Highway Patrol Manual (HPM) 11.1, Administrative Procedures Manual, Chapter 22, Service Contracts/Letters of Agreement, paragraph 16.a. states, "Each contract manager is responsible for maintaining all invoices, records, and relevant documentation for three years after the final payment under the contract."

**Recommendation:**   The command should maintain their contract files as required by the GC and departmental policy.

## X NUMBER CONTRACTS

**FINDING 1:**           **The command did not always maintain complete documentation of its X-number contract files.**

**Condition:**           Seven of ten X-number contract files were missing the Payee Data Record, STD 204, and the Drug Free Certification, STD 21.

The X-number contract files in question are 07-076-563, 07-076-649, 07-076-674, 07-076-675, 07-076-722, 07-076-829, and 07-076-866.

**Criteria:**           GC Section 13403(a)(6) says one of the elements of a satisfactory system of internal accounting and administrative control is an effective system of internal review.

HPM 11.1, Administrative Procedures Manual, Chapter 23 Delegation of X Number Contract Authority, paragraph 1.c. states, “A completed STD. 204, Payee Data Record, which is valid for three years, must be obtained whenever the Department engages in a transaction that leads to payment for services to any private entity. A completed STD. 204, Payee Data Record, must be obtained, at the time of initial service with a vendor or upon expiration of the form, and attached to the invoice prior to forwarding it to Fiscal Management Section (FMS) for payment. The office origination the CHP 78X, X Number Service Order, should retain a copy of the STD. 240, Payee Data Record, for audit purposes.”

HPM 11.1, Administrative Procedures Manual, Chapter 23, Delegation of X Number Contract Authority, paragraph 4.f. states, “Ensuring a completed STD. 204, Payee Data Record, and STD. 21, Drug-Free Workplace Certification, are attached to the invoice of a vendor being used for the first time. The STD. 21, Drug-Free Workplace Certification, and STD. 204, Payee Data Record, is valid for three years. The STD. 204, Payee Data Record, should only be attached to the CHP 78X, X Number Service Order, and invoice at the time of the initial service with a vendor or upon expiration of the form. The original STD. 21, Drug-Free Workplace Certification, and a copy of the STD. 204, Payee Data Record, should be retained in the originating command files for audit purposes.”

**Recommendation:** The command should maintain a complete documentation of its X-number contract files in accordance with the GC and departmental policy.

**FINDING 2:** **The command did not always complete the X-number contracts properly.**

**Condition:** Based on a review of ten X-number contract files for non-emergency services, the documentation appears to show three of the X-number contracts have services rendered prior to being executed and authorized. The Office of the Academy provided evidence in its response to the draft report which demonstrates the above listed X-number contracts were in fact authorized prior to the execution of services and that the error resulted due to the improper completion of the related documentation.

The X-number contract files in question are 07-076-649, 07-076-829, and 07-076-866.

**Criteria:** GC Section 13403(a)(6) says one of the elements of a satisfactory system of internal accounting and administrative control is an effective system of internal review.

**Recommendation:** The command should ensure its X-number contracts are properly completed.

## **PURCHASING**

**FINDING 1:**           **The command did not maintain an employee authorization list to approve purchases.**

**Condition:**           A review of ten purchase files revealed the command did not maintain a current memorandum on file listing the names of command employees authorized to approve purchase orders.

**Criteria:**           GC Section 13403(a)(3) says one of the elements of a satisfactory system of internal accounting and administrative control is a system of authorization and recordkeeping procedures adequate to provide effective accounting control over assets, liabilities, revenues, and expenditures.

HPM 11.2, Materials Management Manual, Chapter 7, Purchases, paragraph 14.a.(5) states, “NOTE: All CHP Divisions and commands shall ensure that an updated memorandum is provided to PSU showing the typed name, title, and signature of those authorized to sign and approve the CHP 43 or the expenditure of Division equipment allocations.”

**Recommendation:**   The command should prepare a current memorandum listing the name, title, and signature of those authorized to sign and approve the Purchase Requisition, CHP 43, and ensure future Purchase Requisition, CHP 43, are signed by the authorized employee.

**FINDING 2:**           **The command did not always maintain its purchasing files.**

**Condition:**           A review of ten purchase files revealed one purchase order did not have an approving signature on the Purchasing Authority Purchase Order, STD 65; one was missing the Purchase Requisition, CHP 43; and another one was missing the Purchase Authority Purchase Order, STD 65.

The purchase orders in question are 091-H-7114 (missing STD 65), 091-H-7115 (no signature on STD 65), and 091-H-7201 (missing CHP 43).

**Criteria:**           GC Section 13403(a)(3) says one of the elements of a satisfactory system of internal accounting and administrative control is a system of authorization and recordkeeping procedures adequate to provide effective accounting control over assets, liabilities, revenues, and expenditures.

HPM 11.2, Materials Management Manual, Chapter 7, Purchases, paragraph 14.a.(12)(b)1 states, “Each command should maintain a complete file of CHP 43s, with attachments. A copy of the corresponding purchase order should be attached to the CHP 43 indicating that the request has been processed.”

**Recommendation:**   The command should maintain its purchasing files to comply with the GC and departmental policy.

## PERSONNEL

- Finding:** **The command did not always ensure their employees reviewed their field service record annually.**
- Condition:** A review of twenty field service records revealed five (two uniformed and three non-uniformed) field service records were not reviewed annually as documented on the Service Record, CHP 270 or Field Service Record, CHP 137C (uniform only).
- Criteria:** GC Section 13403(a)(6) says one of the elements of a satisfactory system of internal accounting and administrative control is an effective system of internal review.

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HPM 10.3, Personnel Transactions Manual, Chapter 30, Personnel and Medical Files, paragraph 10.c.(2)(a) states, "CHP 270, Service Record shall be maintained on a current basis for all personnel and shall be reviewed annually when the performance appraisal is conducted. The annual review of the information shall be noted in the space provided on the CHP 270, Service Record and/or the CHP 137C, Field Service Record (Uniformed)."

HPM 10.3, Personnel Transactions Manual, Chapter 30, Personnel and Medical Files, paragraph 10.d.(2)(a) states, "CHP 270, Service Record shall be maintained on a current basis for all personnel and shall be reviewed annually when the performance appraisal is conducted. The annual review of the information shall be noted in the space provided on the CHP 270, Service Record."

HPM 10.10, Performance Appraisal Manual, Chapter 3, Performance Appraisal Process for Officers, paragraph 4.a.(b).1 and 2 states:

1. Completion and Submission of Annual Performance Appraisal Reports. An annual performance appraisal shall be completed and submitted according to policy and the Bargaining Unit 5 contracts.

2. Command Responsibility. Each command is responsible for ensuring that CHP 118s, Performance Appraisal – Officer, are completed in a timely manner (i.e., within 30 days following the anniversary date of appointment in the current job classification). Commands are also responsible for maintaining a roster of employees by anniversary date to ensure that evaluations are completed on time."

HPM 10.10, Performance Appraisal Manual, Chapter 15, Performance Appraisal Process for Nonuniformed Employees, paragraph 2.a.; 2.a.(1); 2.a.(2); and 2.b. states:

“a. Completion and Submission of Annual Reports. An annual performance appraisal shall be submitted according to the following schedule:

(1) Represented Employees. Refer to appropriate labor agreements. For those employees who do not have specific performance evaluation provisions in their labor agreements, performance appraisals shall be completed and submitted to Business Services Section, Personnel Files, within 30 days following the employee’s anniversary date of appointment in the current job classification.

(2) Nonmanagerial Excluded Employees. Performance appraisals for excluded employees shall be completed and submitted to Business Services Section, Personnel Files, within 30 days following the employee’s anniversary date of appointment in the current job classification. Annual appraisals will be completed regardless of probationary reports that may have been completed during the preceding rating period.

b. Command Responsibility. Each command is responsible for maintaining a roster of employees by anniversary date and ensuring that reports are completed on time.”

HPM 10.3, Personnel Transactions Manual, Chapter 30, Personnel and Medical Files, paragraphs (Personnel File Contents) 10.c.(2)(a)1 and 10.d.(2)(a)1 states, “Current photograph of employee: one affixed to the CHP 270, Service Record; one placed in a separate envelope within the folder. The photograph affixed to the CHP 270, Service Record, shall be replaced with an updated photograph every five years.”

**Recommendation:** The command should ensure their employees review their field service record annually.

## CONCLUSION

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Based on the review of the command's operation, this audit revealed the command has adequate operations. However, some issues were observed. This report presents suggestions for management to improve on some of its operations. In doing so, operations would be strengthened and the command would operate in accordance with departmental policies and procedures.

# **ANNEX**

## **A**

**M e m o r a n d u m**

Date: August 17, 2009

To: Office of Inspections

From: **DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**  
Assistant Commissioner, Leadership Development and Communications

File No.: 004.13143.9-0761

Subject: **COMMAND INSPECTION - FINDING RESPONSE OFFICE OF THE  
ACADEMY**

In my review of the attached 2008 command audit report and the finding responses prepared by the Office of the Academy (Academy), I concur with the assessment provided by the Academy Commander. In compliance with applicable laws and standards, the Academy, with my concurrence has immediately implemented corrective actions to resolve the identified deficiencies found in the 2008 command audit report.

I would like to thank the Office of Inspections for their impartial review of the Academy during the 2008 command audit. If you have any additional questions please do not hesitate to contact Captain Brent Newman at (916) 376-3200.



R. C. PRIETO  
Assistant Commissioner

Attachments





# **ANNEX**

## **B**

**M e m o r a n d u m**

Date: July 23, 2009

To: Assistant Commissioner, Leadership Development and Communications

From: **DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**  
Office of the Academy

File No.: 091.0Admin.memos.08Academyinspection

Subject: **COMMAND INSPECTION – FINDINGS RESPONSE**

In response to the 2008 Academy Command Audit:

**Contracts**Finding #1

The command did not maintain its contract files.

☒ Agree    ☐ Partially Agree    ☐ Disagree

**Finding #1 – Response**

**The finding stated six of ten contract files were not available. The Academy concurs that of the ten contract files which were requested by the auditor, six were not filed in the contract binder. However, the Academy does maintain a contract file and copies of contracts are kept in a binder.**

**Finding #1 – ACCOMPLISHED. The Academy Administrative Assistant is responsible for maintaining copies of the command's contracts.**

**X-Number Contracts**Finding #1

The command did not maintain complete documentation of its X-number contract files.

☒ Agree    ☐ Partially Agree    ☐ Disagree

**Finding #1 – Response**

**The finding stated seven of ten X-number contract files did not contain the STD. 204, Payee Data Record and the STD. 21, Drug Free Certification. The Academy agrees with the**

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**finding.** HPM 11.1 states the STD. 204 and STD. 21 forms are required for vendors used for the first time and valid for three years. Upon review of the seven CHP 78Xs which had been identified as lacking a STD. 204 and STD. 21, six of the seven indicated a STD. 204 and STD. 21 were on file as stated in "Item 12" of the CHP 78X. One had the STD. 21 on file but not the STD. 204.

However, to comply with the findings, the Academy Administrative Assistant will ensure staff includes the STD. 204 and the STD. 21 in all X-number contracts when the vendor is used the first time.

For vendors with a STD. 204 and STD. 21 on file, a notation is made on X-number contract. In addition, managers have been reminded to ensure the STD. 204 and STD. 21 is on file as indicated.

Finding #2

The command did not execute its X-number contracts properly.

☐ Agree      ☒ Partially Agree      ☐ Disagree

Finding #2 – Response

The finding stated three of ten X-number contract files revealed non-emergency services were provided before the X-number contract request date. The Academy is providing the following information in regard to the three X-number contracts:

**#07-076-563 – Vender: Stanley Security Solutions**

**Service: Repair dormitory exterior reader locks**

**Date of service: February 25, 2009**

The CHP 78X had the wrong dated typed into "Item 10. Date of Service and Accounting Codes": the date of service is incorrectly entered as "02/08/08." The correct date of service is "02/25/08."

- On February 8, 2008, staff made calls to vendors to approximate the cost by obtaining a quote to repair dormitory exterior reader locks, Stanley Security Solutions was one of the vendors contacted.
- On February 19, 2008, a request was made by the Operations Manager to the Academy commander to request repair service, using a quote from one of the vendors.
- On February 20, 2008, the Division Assistant Chief approved the service, and requested assurance in regard to the number of bids, this was accomplished.
- Service was provided by Stanley Security Solutions on February 25, 2008. The vendor's invoice date of February 8, 2008, is the date Academy staff requested a quote.

**#07-076-829 – Vender: United Site Services**

**Service: Rent portable toilets**

**Date(s) of service: May 19-21, 2008**

**Verbal approval on May 16, 2008.**

- On May 6, 2008, an email to request services was submitted through channels. Verbal approval was obtained by the Academy commander since the Division Assistant Chief did not have availability to a computer to respond via email. The expenditure was authorized verbally on May 16, 2008 to staff through channels. On May 29, 2008, an email to the operations manager by the Academy commander memorialized the approval.

**#07-076-866 – Vender: Automatic Door Systems, Inc.**

**Service: Calibrate two sliding doors**

**Date of service: June 19, 2009**

**The CHP 78X had the wrong date typed into “Item 10. Date of Service and Accounting Codes”: the date of service is incorrectly typed (06/18/08). The correct date of service is 06/19/08.**

- On June 17, 2008, the Academy commander requested and obtained approval through the Assistant Chief via email. Staff was notified on June 17, 2008, via email as well.

**Program managers have been reminded to carefully review each X-number for accuracy prior to submission. In addition, the Administrative Assistant will provide a final review for accuracy prior to approval by the Academy commander.**

**Finding #1 and 2 – ACCOMPLISHED.**

**Purchasing**

**Finding #1**

The command did not maintain an employee authorization list to approve purchases.

☒ Agree      ☐ Partially Agree      ☐ Disagree

**Finding #1 – Response**

Immediately following the command audit, a memorandum was prepared to Fiscal Management Section with the names Academy staff that are authorized to approve purchases.

**Finding #1 – ACCOMPLISHED.** A copy of the memorandum is kept on file with Academy general files, as well as with the Administrative Assistant. In addition, the Administrative Assistant has placed this memorandum in suspense to update when there is a change in the Academy commander or other designated staff who approve purchases.

**Finding #2**

The command did not maintain its purchasing files.

☒ Agree      ☐ Partially Agree      ☐ Disagree

**Finding #2 – Response**

The finding stated a review of ten purchase requisitions revealed one purchase order did not have an approving signature on the STD. 65, Purchase Authority Purchase Order; one was missing the CHP 43, Purchase Requisition; one was missing the STD. 65. The Academy concurs with the finding. However, the Academy does maintain a purchasing file and copies of CHP 43s are maintained in a binder.

In addition, it should be noted the STD. 65 is provided to the Academy by Business Services Section (BSS). Since this document is provided by another command, the Academy must rely upon BSS to provide this document. The STD. 65 is provided when the purchase order has been cut. Academy staff does not have knowledge at what point to request the STD. 65 to complete the documentation. The finding also indicated one STD. 65 did not have an approving signature. The STD. 65s is signed by BSS staff as the authorizing command.

**Finding #2 – ACCOMPLISHED.** The Academy Administrative Assistant is responsible for maintaining CHP 43s and supporting documentation. In November 2009, the Special Projects Analyst position, formerly assigned to budget related issues, was redirected to another command. As a result, these duties were redirected to the Administrative Assistant and a change in procedures of documenting CHP 43s was established. Each purchase is documented on the command tracking log for accountability.

For the 08/09 Fiscal Year, the Academy tracked and maintained CHP 43s and supporting documentation. These documents are kept in a binder in the Administrative Assistant's office. As STD. 65s are forwarded from Business Services Section, they are placed with the corresponding CHP 43. The STD. 65 is the notification to the Academy the purchase has

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been made. It would be beneficial and recommended that BSS send an e-mail to the Administrative Assistant at the consummation of each purchase.

In addition, with the Department's new Requisition Delivery System (REDS) replacing CHP 43s, the Academy maintains a hard copy file as well as the electronic version in REDS, as well as tracking in an Excel document.

#### Personnel Files

##### Finding #1

The command did not evaluate their employees timely.

☒ Agree      ☐ Partially Agree      ☐ Disagree

##### Finding #1 – Response

Immediately following the command audit, the Academy clerical Office Technician/Special Projects Coordinator was instructed to prepare and maintain a roster of employees by anniversary date to ensure that evaluations are completed on time. This list is updated on a monthly basis and reported to the commander.

**Finding #1 – ACCOMPLISHED.** The Office Technician/Special Projects Coordinator will send out a monthly updated roster list of employees by anniversary date to all managers.

If you have questions, please contact me at (916) 376-3200.



D. B. NEWMAN, Captain  
Commander

Attachments

# **X-Number**

## **Finding 1**

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**X NUMBER SERVICE ORDER**

CHP 78X (Rev. 10-07) OPI 076 Single Service Use for less than \$5,000

COPY

1. X NUMBER

07-076-563

2. TO  
Norma Killion  
Business Services Section

3. FROM: (Location Code - Name of Command)  
Office of the Academy - 091

4. DATE

02/13/2008

5. COMMAND ADDRESS (Number, Street, City, State, Zip Code)

3500 Reed Avenue, West Sacramento, CA 95605

6. TELEPHONE No. (Include Area Code)

(916) 376-3320

7. TYPE OF SERVICE NEEDED (Detailed Description)

Miscellaneous repairs to chain-link, razor ribbon and barb arms on the perimeter fence that were storm damaged.

8. CHP EMPLOYEE OBTAINING QUOTE (Printed Name and Title)

David Brunolli, Supervisor of Building Trades

9. SIGNATURE

*David Brunolli*

**TELEPHONE QUOTE (Less than \$5,000 only)**

This form shall not be used for repeat services (e.g., landscaping, janitorial, etc.); public works\*, pest control\*, consulting services, hazardous services, interagency agreements, or contracts with a city, county, or the federal government (\* see item #18).

NOTE: If a quote is requested from a certified business, only ONE quote is required. If a quote from a single source is unreasonable, a second quote shall be obtained.

10. DATE OF SERVICE AND ACCOUNTING CODES:	FROM DATE	TO DATE	LOCATION CODE 091	OBJECT CODE 357.02	PCA CODE 75011
11.	VENDOR 1		VENDOR 2		VENDOR 3
Vendor's Legal Business Name	Benson Fence Co.		Golden State Fence Co.		Crusader Fednce Co.
Vendor's Federal Employer's ID Number					
Vendor's Address	2800 - 47th Avenue Sacramento, CA 95605		11493 Refinement Road Rancho Cordova, CA 95742		3115 Gold Valley Road Rancho Cordova, CA 95742
Vendor's Telephone No.	(916) 428-9292		(916) 635-6061		(916) 631-9191
Vendor's Fax No.	(916) 428-9293		(916) 635-1135		(916) 631-8989
Full Name of Person Providing Quote	Arnold Benson		Desiree Cordero		Jeff Edwards
Certified Small Business or Microbusiness	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Certified Disabled Veteran-Owned Business	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Quote from Vendor	<input type="checkbox"/> No Bid 825.00		<input type="checkbox"/> No Bid 2,400.00		<input type="checkbox"/> No Bid 2,572.00
5% Small/Micro Business Preference Credit					
Comparison Total	\$ 825.00		\$ 2,400.00		\$ 2,572.00

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Awarded to Vendor No.: 1

☒ STD. 21 on file

☒ STD. 204 on file

Note: Successful vendor's certified business letter must be attached.

If successful vendor is not a certified business, justify in item #14.

13. BUSINESS STATUS OF SUCCESSFUL VENDOR

☒ Sole Proprietor ☐ Partnership ☐ Corporation ☐ Exempt Corporation ☐ Sheltered or Rehabilitation Workshop ☐ Large Business

Continued

c078xa07 lrp



## X NUMBER SERVICE ORDER

CHP 78X (Rev. 10-01) OPI 076 Single Service Use for less than \$5,000

1. X NUMBER

07-076-649

2. TO  
Business Service Section  
Norma Killion

3. FROM: (Location Code - Name of Command)

Office of the Academy 091

4. DATE

03/12/2008

5. COMMAND ADDRESS (Number, Street, City, State, Zip Code)

3500 Reed Avenue, West Sacramento, CA 95605

6. TELEPHONE No. (Include Area Code)

(916) 376-3200

7. TYPE OF SERVICE NEEDED (Detailed Description)

Troubleshoot & repair 12 dormitory exterior card reader lock sets. The WB-1 premium keyway and card readers are proprietary manufacturer only and can only be obtained through Stanley Best Access Systems.


Funding Source: Non-Allocated

Object Code: 46.26

8. CHP EMPLOYEE OBTAINING QUOTE (Printed Name and Title)

David Brunolli, Supervisor of Building Trades

9. SIGNATURE



## TELEPHONE QUOTE (Less than \$5,000 only)

This form shall not be used for repeat services (e.g., landscaping, janitorial, etc.), public works\*, pest control\*, consulting services, hazardous services, interagency agreements, or contracts with a city, county, or the federal government (\* see item #18).

NOTE: If a quote is requested from a certified business, only ONE quote is required. If a quote from a single source is unreasonable, a second quote shall be obtained.

10. DATE OF SERVICE AND ACCOUNTING CODES:	FROM DATE 02/08/2008	TO DATE 02/08/2008	LOCATION CODE 091	OBJECT CODE 346.26	PCA CODE
11.	VENDOR 1		VENDOR 2		VENDOR 3
Vendor's Legal Business Name	Stanley Securities Solutions, Inc. Best Access Systems		Swanson's and Sons Lock and Safe		Schlage Locks Central Valley Hardware
Vendor's Federal Employer's ID Number					
Vendor's Address	1334 Bordeaux Drive Sunnyvale, Ca 94089		2101 Del Paso Blvd. Sacramento, Ca		1430 28th Street Sacramento CA
Vendor's Telephone No.	(404) 541-9500		(916) 869-3983		(916) 452-3658
Vendor's Fax No.	(661) 295-0197				
Full Name of Person Providing Quote	John Bissel		Eric		Scott
Certified Small Business or Microbusiness	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Certified Disabled Veteran-Owned Business	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Quote from Vendor	<input type="checkbox"/> No Bid 297.00		<input checked="" type="checkbox"/> No Bid		<input checked="" type="checkbox"/> No Bid
5% Small/Micro Business Preference Credit					
Comparison Total	\$ 297.00		\$		\$

12.

☒ STD. 21 on file☒ STD. 204 on file

Note: Successful vendor's certified business letter must be attached.

If successful vendor is not a certified business, justify in item #14.

Awarded to Vendor No.: 1

13. BUSINESS STATUS OF SUCCESSFUL VENDOR

☐ Sole Proprietor ☐ Partnership ☐ Corporation ☐ Exempt Corporation ☐ Sheltered or Rehabilitation Workshop ☐ Large Business

# X NUMBER SERVICE ORDER

CHP 78X (Rev. 10-07) OPI 076 Single Service Use for less than \$5,000

1 X NUMBER

07-076-674

2. TO

Business Services Section

Contract Services Unit (CSU-076)

3. FROM: (Location Code - Name of Command)

091-Office of the Academy

4. DATE

04/18/2008

5. COMMAND ADDRESS (Number, Street, City, State, Zip Code)

3500 Reed Ave. West Sacramento, CA 95605

6. TELEPHONE No. (Include Area Code)

(916) 376-3295

7. TYPE OF SERVICE NEEDED (Detailed Description)

Rent 5 wheelchairs for the III-07 graduation.

Item Code 239.02

General Expense

8. CHP EMPLOYEE OBTAINING QUOTE (Printed Name and Title)

Brad Martin, M. S. Supervisor

9. SIGNATURE

## TELEPHONE QUOTE (Less than \$5,000 only)

This form shall not be used for repeat services (e.g., landscaping, janitorial, etc.), public works\*, pest control\*, consulting services, hazardous services, interagency agreements, or contracts with a city, county, or the federal government (\* see item #18).

NOTE: If a quote is requested from a certified business, only ONE quote is required. If a quote from a single source is unreasonable, a second quote shall be obtained.

10. DATE OF SERVICE AND ACCOUNTING CODES:	FROM DATE 04/17/2008	TO DATE 04/18/2008	LOCATION CODE 091	OBJECT CODE 239.02	PCA CODE 75011
	<b>VENDOR 1</b>		<b>VENDOR 2</b>		<b>VENDOR 3</b>
Vendor's Legal Business Name	Arrow Rentals		Abicus Medical		ABA DABA Rents
Vendor's Federal Employer's ID Number					
Vendor's Address	2601 Fruitridge Rd. Sacto, CA 95822		8510 Madison Ave. Fair Oaks, Ca		4351 Auburn Blvd. Sacto, CA 95826
Vendor's Telephone No.	(916) 452-3501		(916) 965-4352		(916) 484-7368
Vendor's Fax No.					
Full Name of Person Providing Quote	Dennis				
Certified Small Business or Microbusiness	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Certified Disabled Veteran-Owned Business	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Quote from Vendor	<input type="checkbox"/> No Bid 50.00		<input type="checkbox"/> No Bid 67.50		<input type="checkbox"/> No Bid 65.00
5% Small/Micro Business Preference Credit					
Comparison Total	\$ 50.00		\$ 67.50		\$ 65.00

12.

Attached to Vendor No.: 1

☒ STD. 21 on file

☒ STD. 204 on file

Note: Successful vendor's certified business letter must be attached.

If successful vendor is not a certified business, justify in item #14.

13. BUSINESS STATUS OF SUCCESSFUL VENDOR

☐ Sole Proprietor ☐ Partnership ☐ Corporation ☐ Exempt Corporation ☐ Sheltered or Rehabilitation Workshop ☒ Large Business

**X NUMBER SERVICE ORDER**

CHP 78X (Rev. 10-07) OPI 076 *Single Service Use for less than \$5,000*

1 X NUMBER

7-076-675

2 TO

Business Services Section

Contract Services Unit (CSU-076)

3 FROM: (Location Code - Name of Command)

091M-Academy

4 DATE

04/18/2008

5 COMMAND ADDRESS (Number, Street, City, State, Zip Code)

3500 Reed Avenue, West Sacramento, CA 95605

6 TELEPHONE No (Include Area Code)

(916) 376-3295

7 TYPE OF SERVICE NEEDED (Detailed Description)

Portable Toilets, 2 ea. (1ADA), for the EVOC demonstration for III-07 Graduation day.

Item Code 239.02

General Expenses

8 CHP EMPLOYEE OBTAINING QUOTE (Printed Name and Title)

Bradley Martin, MS Supervisor

9 SIGNATURE

*Bradley Martin*

**TELEPHONE QUOTE (Less than \$5,000 only)**

This form shall not be used for repeat services (e.g., landscaping, janitorial, etc.), public works\*, pest control\*, consulting services, hazardous services, interagency agreements, or contracts with a city, county, or the federal government (\* see item #18).

NOTE: If a quote is requested from a certified business, only ONE quote is required. If a quote from a single source is unreasonable, a second quote shall be obtained.

10. DATE OF SERVICE AND ACCOUNTING CODES:	FROM DATE 04/17/2008	TO DATE 04/18/2008	LOCATION CODE 091	OBJECT CODE 239.02	PCA CODE 75011
	<b>VENDOR 1</b>		<b>VENDOR 2</b>		<b>VENDOR 3</b>
Vendor's Legal Business Name	Waste Management		United Site Services		JR's Portables
Vendor's Federal Employer's ID Number					
Vendor's Address	8761 Younger Creek Drive Sacramento, CA 95828		3408 Hillcap Avenue San Jose, CA 95136		None given
Vendor's Telephone No.	(916) 348-1516		(916) 442-4191		(800) 651-6751
Vendor's Fax No.	(916) 348-3429		(408) 578-9561		
Full Name of Person Providing Quote	Christina		George Waldi		
Certified Small Business or Microbusiness	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Certified Disabled Veteran-Owned Business	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Quote from Vendor	<input type="checkbox"/> No Bid 146.78		<input type="checkbox"/> No Bid 138.30		<input type="checkbox"/> No Bid 255.00
5% Small/Micro Business Preference Credit					
Comparison Total	\$ 146.78		\$ 141.30 <del>138.30</del>		\$ 255.00

12.

X NUM

Added to Vendor No.: 2

☒ STD. 21 on file

☒ STD. 204 on file

Note: Successful vendor's certified business letter must be attached.

If successful vendor is not a certified business, justify in item #14.

13. BUSINESS STATUS OF SUCCESSFUL VENDOR

☐ Sole Proprietor ☐ Partnership ☒ Corporation ☐ Exempt Corporation ☐ Sheltered or Rehabilitation Workshop ☐ Large Business



**X NUMBER SERVICE ORDER**

CHP 78X (Rev. 10-07) OPI 076 *Single Service Use for less than \$5,000*

2. TO BUSINESS SERVICES SECTION ATTN: NORMA KILLION		3. FROM: (Location Code - Name of Command) 091 OFFICE OF THE ACADEMY	1. X NUMBER 07-076-722
5. COMMAND ADDRESS (Number, Street, City, State, Zip Code) 3500 REED AVENUE, WEST SACRAMENTO, CA 95605		4. DATE 04/10/2008	
7. TYPE OF SERVICE NEEDED (Detailed Description) NARROW SHALLOW GROOVES NEED TO BE CUT IN THE QUAD SIDEWALKS TO BURY THE TEMPORARY POWER SOURCE. GROOVES TO BE FILLED WITH AN EXPANSION JOINT CAULK, SO AS TO BE OSHA SAFETY COMPLIANT.		6. TELEPHONE No. (Include Area Code) (916) 376-3200	

8. CHP EMPLOYEE OBTAINING QUOTE (Printed Name and Title) RICHARD THOMAS, CHIEF OF PLANT OPERATIONS	9. SIGNATURE
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**TELEPHONE QUOTE (Less than \$5,000 only)**

This form shall not be used for repeat services (e.g., landscaping, janitorial, etc.), public works\*, pest control\*, consulting services, hazardous services, interagency agreements, or contracts with a city, county, or the federal government (\* see item #18).  
NOTE: If a quote is requested from a certified business, only ONE quote is required. If a quote from a single source is unreasonable, a second quote shall be obtained.

10. DATE OF SERVICE AND ACCOUNTING CODES:	FROM DATE	TO DATE	LOCATION CODE	OBJECT CODE	PCA CODE
			091	357.02	
11.	VENDOR 1		VENDOR 2		VENDOR 3
Vendor's Legal Business Name	QUIMU CONTRACTING INC		C. E. COX GENERAL ENGINEERING		
Vendor's Federal Employer's ID Number					
Vendor's Address	PO BOX 1177				
Vendor's Telephone No.	(707) 693-0289		(916) 995-1959		
Vendor's Fax No.	(707) 678-8384				
Full Name of Person Providing Quote	MIGUEL QUIROZ		CLIF COX		
Certified Small Business or Microbusiness	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
Certified Disabled Veteran-Owned Business	<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
Quote from Vendor	<input type="checkbox"/> No Bid	600.00	<input type="checkbox"/> No Bid	1,100.00	<input type="checkbox"/> No Bid
5% Small/Micro Business Preference Credit					
Comparison Total	\$ 600.00		\$ 1,100.00		\$

12. Awarded to Vendor No.: 1 ☒ STD. 21 on file ☒ STD. 204 on file

Note: Successful vendor's certified business letter must be attached.  
If successful vendor is not a certified business, justify in item #14.

13. BUSINESS STATUS OF SUCCESSFUL VENDOR

☐ Sole Proprietor ☐ Partnership ☒ Corporation ☐ Exempt Corporation ☐ Sheltered or Rehabilitation Workshop ☐ Large Business

# X NUMBER SERVICE ORDER

CHP 78X (Rev. 10-07) OPI 076 *Single Service Use for less than \$5,000*

1. X NUMBER

7-076-829

2. TO

Business Services Section

Contract Services Unit (CSU-076)

3. FROM: (Location Code - Name of Command)

091M-Academy

4. DATE

05/29/2008

5. COMMAND ADDRESS (Number, Street, City, State, Zip Code)

3500 Reed Avenue, West Sacramento, CA 95605

6. TELEPHONE No. (Include Area Code)

(916) 376-3295

7. TYPE OF SERVICE NEEDED (Detailed Description)

Portable Toilets, 4ea. (1ADA), 1 wash station for the Tim Brown Football Camp.

Item Code 239.02

General Expense

8. CHP EMPLOYEE OBTAINING QUOTE (Printed Name and Title)

Bradley Martin, MS Supervisor

9. SIGNATURE

*Bradley Martin*

## TELEPHONE QUOTE (Less than \$5,000 only)

This form shall not be used for repeat services (e.g., landscaping, janitorial, etc.), public works\*, pest control\*, consulting services, hazardous services, interagency agreements, or contracts with a city, county, or the federal government (\* see item #18).

NOTE: If a quote is requested from a certified business, only ONE quote is required. If a quote from a single source is unreasonable, a second quote shall be obtained.

10. DATE OF SERVICE AND ACCOUNTING CODES:	FROM DATE 05/19/2008	TO DATE 05/21/2008	LOCATION CODE 091	OBJECT CODE 239.02	PCA CODE 75011
11.	VENDOR 1		VENDOR 2		VENDOR 3
Vendor's Legal Business Name	Waste Management		United Site Services		JR's Portables
Vendor's Federal Employer's ID Number					
Vendor's Address	8761 Younger Creek Drive Sacramento, CA 95828		3408 Hillcap Avenue San Jose, CA 95136		None given
Vendor's Telephone No.	(916) 348-1516		(916) 442-4191		(800) 651-6751
Vendor's Fax No.	(916) 348-3429		(408) 578-9561		
Full Name of Person Providing Quote			George Waldi		
Certified Small Business or Microbusiness	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Certified Disabled Veteran-Owned Business	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Quote from Vendor	<input type="checkbox"/> No Bid 290.78		<input type="checkbox"/> No Bid 276.72		<input type="checkbox"/> No Bid 380.92
3% Small/Micro Business Preference Credit					
Comparison Total	\$ 290.78		\$ 276.72		\$ 380.92

2

☒ STD. 21 on file

☐ STD. 204 on file

Awarded to Vendor No.: 2

Note: Successful vendor's certified business letter must be attached.

If successful vendor is not a certified business, justify in item #14.

3. BUSINESS STATUS OF SUCCESSFUL VENDOR

☐ Sole Proprietor ☐ Partnership ☐ Corporation ☐ Exempt Corporation ☐ Sheltered or Rehabilitation Workshop ☒ Large Business

**X NUMBER SERVICE ORDER**

CHP 78X (Rev. 10-07) OPI 076 *Single Service Use for less than \$5,000*

1. X NUMBER

07-076-866

2. TO

BUSINESS SERVICE SECTION  
ATTN: NORMA KILLION

3. FROM (Location Code - Name of Command)

091-OFFICE OF THE ACADEMY  
OPERATIONS UNIT

4. DATE

06/20/2008

5. COMMAND ADDRESS (Number, Street, City, State, Zip Code)

3500 REED AVENUE WEST SACRAMENTO, CA 95605

6. TELEPHONE No. (Include Area Code)

(916) 376-3200

7. TYPE OF SERVICE NEEDED (Detailed Description)

CALIBRATE TWO SLIDING DOORS AND GENERAL MAINTENANCE OF SEVEN SETS OF GLASS PULL DOORS.

8. CHP EMPLOYEE OBTAINING QUOTE (Printed Name and Title)

DENISE DOLL

9. SIGNATURE

*Denise Doll*

**TELEPHONE QUOTE (Less than \$5,000 only)**

This form shall not be used for repeat services (e.g., landscaping, janitorial, etc.), public works\*, pest control\*, consulting services, hazardous services, interagency agreements, or contracts with a city, county, or the federal government (\* see item #18).

NOTE: If a quote is requested from a certified business, only ONE quote is required. If a quote from a single source is unreasonable, a second quote shall be obtained.

10. DATE OF SERVICE AND ACCOUNTING CODES:	FROM DATE 6/18/08	TO DATE 06/18/2008	LOCATION CODE 091	OBJECT CODE 239.02	PCA CODE
11.	<b>VENDOR 1</b>		<b>VENDOR 2</b>		<b>VENDOR 3</b>
Vendor's Legal Business Name	AUTOMATIC DOOR SYSTEM, INC.		INDUSTRIAL DOOR COMPANY		VORTEX
Vendor's Federal Employer's ID Number	94-1753071				
Vendor's Address	982 TERMINAL WAY SAN CARLOS CA 94070				271 OPPORTUNITY SACRAMENTO
Vendor's Telephone No.	(650) 592-8282		(916) 443-1700		(916) 920-3667
Vendor's Fax No.	(650) 598-3786				
Full Name of Person Providing Quote	TOM McCARTHY		LINDA		DAN
Certified Small Business or Microbusiness	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Certified Disabled Veteran-Owned Business	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Quote from Vendor	<input type="checkbox"/> No Bid 352.50		<input type="checkbox"/> No Bid 966.90		<input type="checkbox"/> No Bid 374.95
5% Small/Micro Business Preference Credit	18.75				
Comparison Total	\$ 333.75		\$ 966.90		\$ 374.95

12.

Awarded to Vendor No.: 1

☒ STD. 21 on file

☒ STD. 204 on file

Note: Successful vendor's certified business letter must be attached.

If successful vendor is not a certified business, justify in item #14.

13. BUSINESS STATUS OF SUCCESSFUL VENDOR

☐ Sole Proprietor ☐ Partnership ☒ Corporation ☐ Exempt Corporation ☐ Sheltered or Rehabilitation Workshop ☐ Large Business

# **X-Number**

## **Finding 2**



**X NUMBER SERVICE ORDER**

CHP 78X (Rev. 10-01) OPI 076 *Single Service Use for less than \$5,000*

1. X NUMBER

07-076-649

2. TO  
Business Service Section  
Norma Killion

3. FROM: (Location Code - Name of Command)  
Office of the Academy 091

4. DATE  
03/12/2008

5. COMMAND ADDRESS (Number, Street, City, State, Zip Code)  
3500 Reed Avenue, West Sacramento, CA 95605

6. TELEPHONE No. (Include Area Code)  
(916) 376-3200

7. TYPE OF SERVICE NEEDED (Detailed Description)

Troubleshoot & repair 12 dormitory exterior card reader lock sets. The WB-1 premium keyway and card readers are proprietary manufacturer only and can only be obtained through Stanley Best Access Systems.

Funding Source: Non-Allocated

Object Code: 46.26

8. CHP EMPLOYEE OBTAINING QUOTE (Printed Name and Title)  
David Brunolli, Supervisor of Building Trades

9. SIGNATURE  
*David Brunolli*

**TELEPHONE QUOTE**

This form shall not be used for repeat services (e.g., landscaping, janitorial services, pest control\*, consulting services, hazardous service, interagency agreements, or contracts with a city or county government (\* see item #18)).  
NOTE: If a quote is requested from a certified business, only ONE second quote shall be obtained.

Incorrectly entered  
should be  
2-25-08

10. DATE OF SERVICE AND ACCOUNTING CODES:	FROM DATE 02/08/2008	TO DATE 02/08/2008	CODE 46.26	PCA CODE
11.	<b>VENDOR 1</b>		<b>VENDOR 3</b>	
Vendor's Legal Business Name	Stanley Securities Solutions, Inc. Best Access Systems		and Safe	Schlage Locks Central Valley Hardware
Vendor's Federal Employer's ID Number				
Vendor's Address	1334 Bordeaux Drive Sunnyvale, Ca 94089		2101 Del Paso Blvd. Sacramento, Ca	1430 28th Street Sacramento CA
Vendor's Telephone No.	(404) 541-9500		(916) 869-3983	(916) 452-3658
Vendor's Fax No.	(661) 295-0197			
Full Name of Person Providing Quote	John Bissel		Eric	Scott
Certified Small Business or Microbusiness	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Certified Disabled Veteran-Owned Business	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Quote from Vendor	<input type="checkbox"/> No Bid 297.00		<input checked="" type="checkbox"/> No Bid	<input checked="" type="checkbox"/> No Bid
5% Small/Micro Business Preference Credit				
Comparison Total	\$ 297.00		\$	\$

12. Awarded to Vendor No.: 1  
☒ STD. 21 on file  
☒ STD. 204 on file

Note: Successful vendor's certified business letter must be attached.  
If successful vendor is not a certified business, justify in item #14.

13. BUSINESS STATUS OF SUCCESSFUL VENDOR

☐ Sole Proprietor ☐ Partnership ☐ Corporation ☐ Exempt Corporation ☐ Sheltered or Rehabilitation Workshop ☐ Large Business



VENDOR WAS SELECTED. JUSTIFICATION MUST BE PROVIDED BELOW

14. JUSTIFICATION

The premium WB-1 keyway and card readers are proprietary manufacture only and can only be obtained through Stanley Best Access. Two other lock repair vendors were contacted (Schlage Locks Central Valley Hardware and Swanson and Sons Lock and Safe Co.), but all referred us back to Stanley Best Access. Parts are still under warranty.

15. REASON FOR CONTRACTING OUT FOR THIS SERVICE (Government Code 19130)

Office of the Academy staff does not have the equipment or trained personnel for this type of service.

16.

COMMAND APPROVAL

COMMANDER'S NAME or DESIGNEE (Printed Name and Title)

D. B. Newman, Captain

COMMANDER'S SIGNATURE or DESIGNEE

*D. B. Newman*

COMMAND TELEPHONE No. (Include Area Code)

(916) 376-3200

DATE

3/14/08

17.

DIVISION APPROVAL (if required)

PRINTED NAME and TITLE of DIVISION APPROVING OFFICIAL

F. DEERY

SIGNATURE of APPROVING OFFICIAL

*F. Deery*

DATE

3/17/08

18.

\*AUTHORIZATION FOR EMERGENCY MAINTENANCE/REPAIR SERVICES TO A FACILITY

Commands shall contact the appropriate Facilities Section Analyst/Facility Maintenance Coordinator to receive verbal authorization to perform emergency services for public works or pest control. After completion of the service, CHP 78X shall be routed to your Division for approval (if necessary) then to the authorizing Facilities Section Analyst/Facility Maintenance Coordinator.

NAME OF FACILITIES SECTION ANALYST AUTHORIZING SERVICE

VENDOR'S LICENSE NUMBER

EXPIRATION DATE

☐ **General Liability:** Vendor meets the insurance requirement for \$1,000,000 general liability insurance per occurrence for bodily injury and property damage liability combined and will provide a certificate showing the state as an additional insured.

☐ **General Liability and Automotive:** Vendor meets the insurance requirement for \$1,000,000 general liability insurance and automobile liability of not less than \$1,000,000 per occurrence for bodily injury and property damage liability combined and will provide a certificate showing the state as an additional insured.

☐ **Workers' Compensation Certificate:** Vendor will provide a copy of their Workers' Compensation Certificate.

19. SIGNATURE of APPROVING FACILITIES SECTION ANALYST/FACILITY MAINTENANCE COORDINATOR

DATE

LOCATION CODE

20. NAME OF ANALYST AUTHORIZING REPAIR OF TELECOMMUNICATIONS EQUIPMENT

21.

BUSINESS SERVICES SECTION/CONTRACT SERVICES UNIT USE ONLY  
(Do Not Write)

ACCOUNTING EXPENDITURE CODING

X NUMBER COORDINATOR SIGNATURE AND DATE

CONTRACTS OFFICER SIGNATURE AND DATE (If Required)

IF A NON-CERTIFIED VENDOR WAS SELECTED, JUSTIFICATION MUST BE PROVIDED BELOW.

14. JUSTIFICATION

The premium WB-1 keyway and card readers are proprietary manufacturer only and can only be obtained through Stanley Best Access. Two other lock repair vendors were contacted (Schlage Locks Central Valley Hardware and Swanson and Sons Lock and Safe Co.), but all referred us back to Stanley Best Access. Parts are still under warranty.

15. REASON FOR CONTRACTING OUT FOR THIS SERVICE (Government Code 19130)

Office of the Academy staff does not have the equipment or trained personnel for this type of service.

16. **COMMAND APPROVAL**

COMMANDER'S NAME or DESIGNEE (Printed Name and Title)

D. B. Newman, Captain

COMMAND TELEPHONE No. (Include Area Code)

(916) 376-3200

COMMANDER'S SIGNATURE or DESIGNEE

DATE

3/14/08

17. **DIVISION APPROVAL (if required)**

PRINTED NAME and TITLE of DIVISION APPROVING OFFICIAL

SIGNATURE of APPROVING OFFICIAL

DATE

18. **\*AUTHORIZATION FOR EMERGENCY MAINTENANCE/REPAIR SERVICES TO A FACILITY**

Commands shall contact the appropriate Facilities Section Analyst/Facility Maintenance Coordinator to receive verbal authorization to perform emergency services for public works or pest control. After completion of the service, CHP 78X shall be routed to your Division for approval (if necessary) then to the authorizing Facilities Section Analyst/Facility Maintenance Coordinator.

NAME OF FACILITIES SECTION ANALYST AUTHORIZING SERVICE

VENDOR'S LICENSE NUMBER

EXPIRATION DATE

☐ **General Liability:** Vendor meets the insurance requirement for \$1,000,000 general liability insurance per occurrence for bodily injury and property damage liability combined and will provide a certificate showing the state as an additional insured.

☐ **General Liability and Automotive:** Vendor meets the insurance requirement for \$1,000,000 general liability insurance and automobile liability of not less than \$1,000,000 per occurrence for bodily injury and property damage liability combined and will provide a certificate showing the state as an additional insured.

☐ **Workers' Compensation Certificate:** Vendor will provide a copy of their Workers' Compensation Certificate.

19. SIGNATURE of APPROVING FACILITIES SECTION ANALYST/FACILITY MAINTENANCE COORDINATOR

DATE

LOCATION CODE

20. NAME OF ANALYST AUTHORIZING REPAIR OF TELECOMMUNICATIONS EQUIPMENT

21. **BUSINESS SERVICES SECTION/CONTRACT SERVICES UNIT USE ONLY**  
(Do Not Write)

ACCOUNTING EXPENDITURE CODING

X NUMBER COORDINATOR SIGNATURE AND DATE

CONTRACTS OFFICER SIGNATURE AND DATE (If Required)

**From:** Richard Thomas  
**To:** Brent Newman  
**Date:** 2/19/2008 11:09:17 AM  
**Subject:** Fwd: "x" number request

Captain,

May we have authorization for an X number service order?

>>> David Brunolli 02/19/08 9:40 AM >>>  
Lee,

We need an x number to troubleshoot and repair 12 dormitory exterior cardreader locksets that continue to remain in the open position. We have tried to repair them ourselves, but to no avail. Not to exceed \$300.00

Non-Allocated: 3091/357.02/75011

Thanks, David B.

**From:** Fritz Eberly  
**To:** Brent Newman  
**Date:** 2/20/2008 9:19:48 AM  
**Subject:** Fwd: "x" number request

Brent:

Approved . . . Please ensure the get a number of bids.

Thank you,

Fritz

>>> Brent Newman 02/19/08 3:52 PM >>>  
Approval requested re attached.

**From:** Norma Killion  
**To:** David Brunolli  
**Date:** 3/11/2008 8:32:24 AM  
**Subject:** Re: Fwd: "x" number request

Your X number is 07-076-649

Norma Killion  
AGPA  
Policies and Procedures Unit  
(916) 376-3156  
(916) 375-2969 - fax  
[nkillion@chp.ca.gov](mailto:nkillion@chp.ca.gov)

>>> David Brunolli 03/11/08 7:32 AM >>>  
Stanley Securities Solutions, Inc.  
Best Access Systems  
1334 Bordeaux Drive  
Sunnyvale, CA 94089 (404)-541-9500

>>> Norma Killion 03/10/08 3:50 PM >>>  
Who is the vendor?

Norma Killion  
AGPA  
Policies and Procedures Unit  
(916) 376-3156  
(916) 375-2969 - fax  
[nkillion@chp.ca.gov](mailto:nkillion@chp.ca.gov)

>>> David Brunolli 03/10/08 3:10 PM >>>  
Norma,

May we please have an x number for \$297.00 See below for info.

Thanks, David B.

>>> Richard Thomas 02/21/08 2:25 PM >>>

>>> Brent Newman 02/20/08 5:42 PM >>>



Security Solutions



Stanley Security Solutions, Inc.  
Best Access Systems Division

(408) 541-9500  
Fax (408) 541-9535  
Lic. # 819438

Specializing in Mechanical & Electronic Access Control Systems  
Santa Clarita: PHN: 661/295-0190 FAX: 661/295-0197

REMIT TO

Dept CH 14210  
Palatine, IL 60055-4210

OUR ORDER NO.	PAGE NO.	ACCT NO.	TAKEN BY	DATE ENTERED	INVOICE NO.	INVOICE DATE
739131	1	CAL022	JB /	02/08/08	CA-615365	02/08/08

<b>SOLD TO</b>	CALIFORNIA HIGHWAY PATROL ACCTS PAYABLE PO BOX 942901 SACRAMENTO ,CA 94298-2901 ATTN:		<b>SHIP TO</b>	CALIFORNIA HIGHWAY PATROL 3500 REED AVE. WEST SACRAMENTO ,CA 95605 ATTN: DAVID BRUNOLLI	
	ULTIMATE USER			SALESMAN T1	
ORDERED BY DAVID BRUNOLLI			PHONE 916/376-3397		
			P.O.# REQ.# MK FOR		

HOW TO SHIP SERVICE		SHIP DATE 02/25/08	TIME NA:	TERMS: NET 30 1% PER MONTH CHARGED ON PAST DUE ACCOUNTS. PLEASE PAY ON THIS INVOICE. NO OTHER STATEMENT WILL BE SENT.
MISC.	WAIB	PIN SIZE	FEDERAL ID NUMBER 35 - 1842918	THIS ORDER HAS BEEN ENTERED ACCORDING TO BEST ACCESS SYSTEMS TERMS

IT#	SOURCE	B.O.	SHIP	QTY.ORD	UNIT	CATALOG #	FINISH	DESCRIPTION	KEYING	PRICE	AMOUNT
1	STK	0	1	1	EA	SERVICE MECHANICAL				297.00	297.00
						BASIS LOCKS ARE REMAINING IN THE UNLOCK MODE.					
						***CORRECTIVE ACTION*** RELOCK CHASSIS BY OPERATING LOCK WITH CARD. TWO OTHER CHASSIS REPLACED AND OLD UNITS SENT TO FACTORY FOR EVAL					
						Academy Approved for Payment					
						Signature: <u>David Brunolli</u>					
						Title/ID# <u>S.B.T.</u>					
						Date: <u>03.12.08</u>					
						PO/X#: <u>07-076-649</u>					
						Date Goods Received (If Applicable) _____					

RECEIVED	DATE	SUB TOTAL	297.00
BY:		%TAX	.00
CLAIMS FOR SHORTAGE MUST BE MADE WITHIN 10 DAYS AFTER RECEIPT OF GOODS. MERCHANDISE MUST NOT BE RETURNED WITHOUT A RETURN GOODS AUTHORIZATION (RGA) NUMBER.		SHIPPING AND	.00
IMPORTANT: In certain instances, your facility hardware and its application must comply with Life Safety Building Codes and Disability Access laws. It is the purchasers responsibility to verify compliance with the appropriate authorities. If we receive an order, we will assume this has been done. THESE COMMODITIES, TECHNOLOGY OR SOFTWARE MAY BE EXPORTED FROM THE UNITED STATES ONLY IN ACCORDANCE WITH THE EXPORT ADMINISTRATION REGULATIONS. DIVERSION CONTRARY TO U.S. LAW PROHIBITED.		HANDLING CHARGES	.00
		<b>TOTALS</b>	<b>297.00</b>

\* ITEMS MARKED WITH AN  
ASTERISK ARE SHIPPED  
FROM THE NATIONAL  
OPERATIONS CENTER  
ORIGINAL INVOICE

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**X NUMBER SERVICE ORDER**

CHP 78X (Rev. 10-07) OPI 076 *Single Service Use for less than \$5,000*

*Key*

1. X NUMBER	7-076-829
4. DATE	05/29/2008
6. TELEPHONE No. (Include Area Code)	(916) 376-3295

2. TO Business Services Section Contract Services Unit (CSU-076)	3. FROM: (Location Code - Name of Command) 091M-Academy
5. COMMAND ADDRESS (Number, Street, City, State, Zip Code) 3500 Reed Avenue, West Sacramento, CA 95605	

7. TYPE OF SERVICE NEEDED (Detailed Description)

Portable Toilets, 4ea. (1ADA), 1 wash station for the Tim Brown Football Camp.

Item Code 239.02  
General Expense

8. CHP EMPLOYEE OBTAINING QUOTE (Printed Name and Title)  
Bradley Martin, MS Supervisor

9. SIGNATURE

*Bradley Martin*

**TELEPHONE QUOTE (Less than \$5,000 only)**

This form shall not be used for repeat services (e.g., landscaping, janitorial, etc.), public works\*, pest control\*, consulting services, hazardous services, interagency agreements, or contracts with a city, county, or the federal government (\* see item #18).

NOTE: If a quote is requested from a certified business, only ONE quote is required. If a quote from a single source is unreasonable, a second quote shall be obtained.

10. DATE OF SERVICE AND ACCOUNTING CODES:	FROM DATE 05/19/2008	TO DATE 05/21/2008	LOCATION CODE 091	OBJECT CODE 239.02	PCA CODE 75011
11.	VENDOR 1		VENDOR 2		VENDOR 3
Vendor's Legal Business Name	Waste Management		United Site Services		JR's Portables
Vendor's Federal Employer's ID Number					
Vendor's Address	8761 Younger Creek Drive Sacramento, CA 95828		3408 Hillcap Avenue San Jose, CA 95136		None given
Vendor's Telephone No.	(916) 348-1516		(916) 442-4191		(800) 651-6751
Vendor's Fax No.	(916) 348-3429		(408) 578-9561		
Full Name of Person Providing Quote			George Waldi		
Certified Small Business or Microbusiness	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Certified Disabled Veteran-Owned Business	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Quote from Vendor	<input type="checkbox"/> No Bid 290.78		<input type="checkbox"/> No Bid 276.72		<input type="checkbox"/> No Bid 380.92
5% Small/Micro Business Preference Credit					
Comparison Total	\$ 290.78		\$ 276.72		\$ 380.92

12.

☒ STD. 21 on file

☐ STD. 204 on file

Note: Successful vendor's certified business letter must be attached.

If successful vendor is not a certified business, justify in item #14.

Awarded to Vendor No.: 2

13. BUSINESS STATUS OF SUCCESSFUL VENDOR

☐ Sole Proprietor ☐ Partnership ☐ Corporation ☐ Exempt Corporation ☐ Sheltered or Rehabilitation Workshop ☒ Large Business

Continued

c078xa07 frp



IF A NON-CERTIFIED VENDOR WAS SELECTED, JUSTIFICATION MUST BE PROVIDED BELOW.

14. JUSTIFICATION

These portable toilets are required for the attendees of the Tim Brown Football Camp. No certified vendors submitted bids.

15. REASON FOR CONTRACTING OUT FOR THIS SERVICE (Government Code 19130)

The Academy doesn't have sufficient restroom facilities available to accommodate the participants.

16.

### COMMAND APPROVAL

COMMANDER'S NAME or DESIGNEE (Printed Name and Title)  
Captain D. B. Newman, Commander

COMMAND TELEPHONE No. (Include Area Code)  
(916) 376-3230

COMMANDER'S SIGNATURE or DESIGNEE

DATE  
05/30/2008

17.

### DIVISION APPROVAL (if required)

PRINTED NAME and TITLE of DIVISION APPROVING OFFICIAL

S. HOWLAND, A.S.T. CHIEF

SIGNATURE of APPROVING OFFICIAL



DATE

6/17/08

18.

### \*AUTHORIZATION FOR EMERGENCY MAINTENANCE/REPAIR SERVICES TO A FACILITY

Commands shall contact the appropriate Facilities Section Analyst/Facility Maintenance Coordinator to receive verbal authorization to perform emergency services for public works or pest control. After completion of the service, CHP 78X shall be routed to your Division for approval (if necessary) then to the authorizing Facilities Section Analyst/Facility Maintenance Coordinator.

NAME OF FACILITIES SECTION ANALYST AUTHORIZING SERVICE

VENDOR'S LICENSE NUMBER

EXPIRATION DATE

☒ **General Liability:** Vendor meets the insurance requirement for \$1,000,000 general liability insurance per occurrence for bodily injury and property damage liability combined and will provide a certificate showing the state as an additional insured.

☒ **General Liability and Automotive:** Vendor meets the insurance requirement for \$1,000,000 general liability insurance and automobile liability of not less than \$1,000,000 per occurrence for bodily injury and property damage liability combined and will provide a certificate showing the state as an additional insured.

☒ **Workers' Compensation Certificate:** Vendor will provide a copy of their Workers' Compensation Certificate.

19. SIGNATURE of APPROVING FACILITIES SECTION ANALYST/FACILITY MAINTENANCE COORDINATOR

DATE

LOCATION CODE

20. NAME OF ANALYST AUTHORIZING REPAIR OF TELECOMMUNICATIONS EQUIPMENT

21.

### BUSINESS SERVICES SECTION/CONTRACT SERVICES UNIT USE ONLY

(Do Not Write)

ACCOUNTING EXPENDITURE CODING

X NUMBER COORDINATOR SIGNATURE AND DATE

CONTRACTS OFFICER SIGNATURE AND DATE (If Required)



United Site Services of California, Inc.  
3408 Hillcap Ave  
San Jose, CA 95136

Phone No.: 800-322-2263  
Fax No.: 408-578-9561



# INVOICE

Customer ID: CAN-12355  
Invoice No: I-546501  
Terms: Due on Receipt  
P.O. No: BRAD MARTIN  
Our Order No: 0-71146  
Invoice Date: 05/21/08

Bill CALIFORNIA HIGHWAY PATROL  
To: 3500 REED AVENUE  
WEST SACRAMENTO, CA 95605

Ship CALIFORNIA HIGHWAY PATROL  
To: TIM BROWN FOOTBALL  
3500 REED AVE  
WEST SACRAMENTO, CA 95605

Items					
Item / Description	Quantity	Term	From / Thru	Unit Price	Total Price
DXR Deluxe Restroom	3 Each	Misc.	05/19/08 05/21/08	35.00	105.00
ADA ADA Wheelchair Accessible	1 Each	Misc.	05/19/08 05/21/08	85.00	85.00
2SS 2 Station Sink	1 Each	Misc.	05/19/08 05/21/08	45.00	45.00
ORDERED BY BRAD MARTIN#916-376-3296					
EEF Energy and Environmental Fee	1		05/19/08 05/19/08	23.50	23.50

APPROVED FOR PAYMENT  
Academy - 091

Date: 5/30/08  
Signature: Bradley Martin  
Title / I.D. # M. J. Lynch A10322

Subtotal: 258.50  
Tax: 18.22  
Total: 276.72

Please Remit with Payment:  
See Reverse for Terms & Conditions, which are part of this Agreement  
wherein United Site Services of California, Inc. is referred to as "Company"

CALIFORNIA HIGHWAY PATROL

Customer ID: CAN-12355  
Invoice Number: I-546501  
Our Order No: 0-71146

Subject to Tax 235.00  
Exempt from Tax 23.50

Subtotal: 258.50  
Tax: 18.22  
Total: 276.72

Service is optional



**From:** Sandra Bradley  
**To:** Bradley Martin  
**Date:** Thursday, May 29, 2008 4:44:48 PM  
**Subject:** Re: Fwd: Re: Tim Brown services

Here is your X Number: 07-076-0829

Sandra Bradley  
SBE & DVBE Advocate  
Business Services Section  
Policies and Procedures Unit  
Bus: (916) 375-2108  
Fax (916) 376-3159  
E-mail Address SBradley@CHP.CA.GOV

>>> Bradley Martin 05/29/08 4:25 PM >>>  
Hi, Sandra,

May we have an X# for this, please?

Bradley Martin, Materials & Stores Supervisor  
California Highway Patrol Academy, Supply

>>> Lee LaPerle 5/29/2008 4:18:06 PM >>>  
Thank you sir.

>>> Brent Newman 05/29/08 3:22 PM >>>  
We received verbal approval from Chief Eberly to me on Friday, May 16. He had reviewed our e-mail request but was not able to get to a computer as he was at Top Mgmt that week. He authorized the expenditure and asked that I memorialize it with an e-mail. This response serves that purpose and is to be attached to the x-number paperwork. Thanks Lee.

Brent

>>> Lee LaPerle 05/29/08 3:19 PM >>>  
Hello Capt.,  
Have you seen anything yet?  
Lee

>>> Bradley Martin 05/29/08 1:49 PM >>>  
Hi, Lee,

Did Richard forward this request to you in order to forward to the Capt. and Chief for approval? I haven't seen it.

TY,  
>>> Bradley Martin 5/7/2008 9:07:20 AM >>>  
The porta potties will be three regular and one ADA and a wash station for \$276.71 from United Site Services.

Bradley Martin, Materials & Stores Supervisor  
California Highway Patrol Academy, Supply

>>> Richard Thomas 5/6/2008 5:09:40 PM >>>  
Brad,

We will need 4 porta potties and a wash station delivered here on Monday, May 19th, for the Tim Brown Football Camp on Tuesday, May 20th and picked up Wed.

**X NUMBER SERVICE ORDER**CHP 78X (Rev. 10-07) OPI 076 **Single Service Use for less than \$5,000**

1. X NUMBER

07-076-866

2. TO

BUSINESS SERVICE SECTION  
ATTN: NORMA KILLION

3. FROM: (Location Code - Name of Command)

091-OFFICE OF THE ACADEMY  
OPERATIONS UNIT

4. DATE

06/20/2008

5. COMMAND ADDRESS (Number, Street, City, State, Zip Code)

3500 REED AVENUE WEST SACRAMENTO, CA 95605

6. TELEPHONE No (Include Area Code)

(916) 376-3200

7. TYPE OF SERVICE NEEDED (Detailed Description)

CALIBRATE TWO SLIDING DOORS AND GENERAL MAINTENANCE OF SEVEN SETS OF GLASS PULL DOORS.

8. CHP EMPLOYEE OBTAINING QUOTE (Printed Name and Title)

DENISE DOLL

9. SIGNATURE

*Denise Doll***TELEPHONE QUOTE (Less than \$5,000 only)**

This form shall not be used for repeat services (e.g., landscaping, janitorial services, interagency agreements, or contracts with a city, county, or state agency).  
 NOTE: If a quote is requested from a certified business, only ONE quote shall be obtained. If a quote is requested from a single source is unreasonable, a second quote shall be obtained.

10. DATE OF SERVICE AND  
ACCOUNTING CODES:

FROM DATE

6/18/08

TO DATE

06/18/2008

PCA CODE

02

11.

**VENDOR 1****VENDOR 3**

Vendor's Legal Business Name

AUTOMATIC DOOR SYSTEM,  
INC.Vendor's Federal Employer's ID  
Number

94-1753071

Vendor's Address

982 TERMINAL WAY  
SAN CARLOS CA 94070

Vendor's Telephone No.

(650) 592-8282

(916) 443-1700

(916) 920-3667

Vendor's Fax No.

(650) 598-3786

Full Name of Person Providing  
Quote

TOM McCARTHY

LINDA

DAN

Certified Small Business or  
Microbusiness☒ Yes☐ No☐ Yes☒ No☐ Yes☒ NoCertified Disabled Veteran-  
Owned Business☐ Yes☒ No☐ Yes☒ No☐ Yes☒ NoQuote from Vendor  
Vendor☐ No Bid

352.50

☐ No Bid

966.90

☐ No Bid

374.95

5% Small/Micro Business  
Preference Credit

18.75

Comparison Total

\$

333.75

\$

966.90

\$

374.95

12.

Awarded to Vendor No.: 1☒ STD. 21 on file☒ STD. 204 on file

Note: Successful vendor's certified business letter must be attached.

If successful vendor is not a certified business, justify in item #14.

13. BUSINESS STATUS OF SUCCESSFUL VENDOR

☐ Sole Proprietor☐ Partnership☒ Corporation☐ Exempt Corporation☐ Sheltered or Rehabilitation Workshop☐ Large Business

**IF A NON-CERTIFIED VENDOR WAS SELECTED, JUSTIFICATION MUST BE PROVIDED BELOW.**

14. JUSTIFICATION

CERTIFIED SMALL BUSINESS AWARDED.

15. REASON FOR CONTRACTING OUT FOR THIS SERVICE (Government Code 19130)

OFFICE OF THE ACADEMY STAFF DOES NOT HAVE THE EQUIPMENT OR THE TRAINED STAFF FOR THIS TYPE OF SERVICE.

16.

**COMMAND APPROVAL**

COMMANDER'S NAME or DESIGNEE (Printed Name and Title)

D. B. NEWMAN, CAPTAIN

COMMAND TELEPHONE No. (Include Area Code)

(916) 376-3200

COMMANDER'S SIGNATURE or DESIGNEE

DATE

6/20/08

17.

**DIVISION APPROVAL (if required)**

PRINTED NAME and TITLE of DIVISION APPROVING OFFICIAL

SIGNATURE of APPROVING OFFICIAL

DATE

18.

**AUTHORIZATION FOR EMERGENCY MAINTENANCE/REPAIR SERVICES TO A FACILITY**

Commands shall contact the appropriate Facilities Section Analyst/Facility Maintenance Coordinator to receive verbal authorization to perform emergency services for public works or pest control. After completion of the service, CHP 78X shall be routed to your Division for approval (if necessary) then to the authorizing Facilities Section Analyst/Facility Maintenance Coordinator.

NAME OF FACILITIES SECTION ANALYST AUTHORIZING SERVICE

VENDOR'S LICENSE NUMBER

EXPIRATION DATE

☐ **General Liability:** Vendor meets the insurance requirement for \$1,000,000 general liability insurance per occurrence for bodily injury and property damage liability combined and will provide a certificate showing the state as an additional insured.

☐ **General Liability and Automotive:** Vendor meets the insurance requirement for \$1,000,000 general liability insurance and automobile liability of not less than \$1,000,000 per occurrence for bodily injury and property damage liability combined and will provide a certificate showing the state as an additional insured.

☐ **Workers' Compensation Certificate:** Vendor will provide a copy of their Workers' Compensation Certificate.

19. SIGNATURE of APPROVING FACILITIES SECTION ANALYST/FACILITY MAINTENANCE COORDINATOR

DATE

LOCATION CODE

20. NAME OF ANALYST AUTHORIZING REPAIR OF TELECOMMUNICATIONS EQUIPMENT

21.

**BUSINESS SERVICES SECTION/CONTRACT SERVICES UNIT USE ONLY**

(Do Not Write)

ACCOUNTING EXPENDITURE CODING

X NUMBER COORDINATOR SIGNATURE AND DATE

CONTRACTS OFFICER SIGNATURE AND DATE (If Required)

# Automatic Door Systems, Inc.

982 Terminal Way  
San Carlos, CA 94070-3225  
PH 650/592-8282 FAX 650/598-3786

## INVOICE

Customer		Invoice Date	Job Site / Name	
CHP ACADEMY 3500 REED AVE.		6/19/08	CHP ACADEMY 3500 REED AVE.	
WEST SACRAMENTO, CA 95605		Invoice Number	WEST SACRAMENTO, CA 95605	
Phone 1-530-743-1943		48814	Phone 1-530-743-1943	
Fax 1-530-743-1999		Their PO #	Fax 1-530-743-1999	
RICHARD THOMAS		07-076-866		
		Our Ref # / Job #		
		140150		

QTY	STOCK NO.	MATERIAL DESCRIPTION (PLUS FRT.)	UNIT SELL	TOTAL

HRS	CODE	NON-TAXABLE DESCRIPTION	LABOR RATE	LABOR TOTAL
2.50	LR95	REGULAR LABOR RATE	\$95.00	\$237.50
1	SC115	SERVICE CALL CHARGE	\$115.00	\$115.00

NON-TAX TOTAL	TAXABLE TOTAL	TOTAL TAX	FREIGHT	Invoice Total Per Record
\$352.50	\$0.00	\$0.00		\$352.50

CHP ACADEMY				
48814	Days From Original Invoice Date			118
Payments	Amounts	Check No.	Date	Days
FIRST				
SECOND				
THIRD				
PAID UP				
BALANCE DUE		\$352.50		

091 - Academy  
Approved for Payment

Signature: *David Brunolli*  
Title/ID# SBT

Date: 6/23/08  
PO/X#: 07-076-866  
Date Goods Received: 6/19/08  
(If Applicable)

To: David Brunolli

From: Diana

JUN-19-2008 09:56

650-598-3786

P.01

**From:** Bradley Martin  
**To:** Brunoli, David; LaPerle, Lee  
**Date:** 6/18/2008 8:41:47 AM  
**Subject:** Fwd: Re: X-Number Request

Here you go.

Bradley Martin, Materials & Stores Supervisor  
California Highway Patrol Academy, Supply

>>> Norma Killion 6/18/2008 8:35:02 AM >>>  
Your X number is 07-076-866

Norma Killion  
AGPA  
Policies and Procedures Unit  
(916) 376-3156  
(916) 375-2969 - fax  
[nkillion@chp.ca.gov](mailto:nkillion@chp.ca.gov)

>>> Bradley Martin 06/17/08 3:54 PM >>>  
Norma, May we have an X# for this service?

Bradley Martin, Materials & Stores Supervisor  
California Highway Patrol Academy, Supply

>>> Lee LaPerle 6/17/2008 3:09:16 PM >>>  
Good to go David.

>>> Scott Howland 06/17/08 11:43 AM >>>  
Approved

>>> Brent Newman 6/17/08 9:57:19 AM >>>  
Seeking approval for an x-number per the justification below. I approve at my level. - Brent

Service: Adjust the doors in food service.  
Vendor: Automatic Door Systems, the small business that originally did the install  
Estimated cost: \$750 (cost code 239.02)

**From:** Lee LaPerle  
**To:** David Brunolli  
**Date:** 6/17/2008 3:09:16 PM  
**Subject:** Fwd: Re: X-Number Request

Good to go David.

>>> Scott Howland 06/17/08 11:43 AM >>>  
Approved

>>> Brent Newman 6/17/08 9:57:19 AM >>>  
Seeking approval for an x-number per the justification below. I approve at my level. - Brent

Service: Adjust the doors in food service.  
Vendor: Automatic Door Systems, the small business that originally did the install  
Estimated cost: \$750 (cost code 239.02)

**CC:** Kelly Williams; Martin, Bradley; Richard Thomas



9 Doors sets  
2 slider 7 pulls  
Calibrate Sliding  
door  
General Paint  
Heli  
Cost Labor Rate  
Services call Rate

Ind - Free Es  
Industrial Door 186.76 1st flr  
Co 12th<sup>30</sup> add 1/2  
Linda Pro Rate  
916 443-1700

Katie Vortex

916 920-3667

Dan

99.15 + 3 door

25.22 door

labor 98 smg

148 group



**ANNEX**

**C**

# COMMENTS

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To provide clarity and perspective, the number in the margin below correspond to the number placed in the Office of the Academy's response.

In the command's response, evidence was provided that services were authorized prior to the execution of the X-number contract. The Office of the Academy recognizes that they completed the X-number contracts properly, and instead did not document the related forms properly.

1

Based on an internal review, this finding was slightly modified in order to more accurately address the evidence in the audit work papers.

2